


Contract Administration – BOT Approval Procedures

Transportation Planning Branch		Approved: October 5, 2007 Version 1
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Purpose

The purpose of this procedure is to ensure that Contracts for Professional Services meet the appropriate standards and deadlines so they are included on the Board of Transportation (BOT) agenda. This procedure includes new contracts, limited service contracts, and supplements to existing contracts for professional services. Depending on the contract amount, contracts may be presented to the BOT for approval or for their information only.

Background

This procedure is triggered by the need to initiate a professional services contract for work that can not be completed by the Transportation Planning Branch. Prior to entering a professional services contract for more than \$30,000, the contract item must be presented to the BOT for their information only (up to \$250,000), or approval (over \$250,000). In addition, supplements to existing contracts must be presented to the BOT for approval if the supplement is greater than 10% for contracts whose original amount was over \$250,000, or more than 25% for contracts whose original amounts were equal to or less than \$250,000. Contract overruns that are less than 10% or 25%, respectively, must be presented to the BOT for their information only.

Responsibility

It is the responsibility of:

- The Project Engineer to identify the need for a professional service and negotiate a scope of work and fee.
- The Branch Manager to present the Contract Agenda Item to the BOT.
- The Staff Engineer to prepare the agenda item and send it to the Office of Preconstruction Staff Engineer, currently David Smith, for inclusion on the BOT agenda.

Policy, Regulatory, and Legal Requirements

NCDOT's [Policy and Procedures for Major Professional or Specialized Services Contracts](#) must be followed.

Scheduling and Time Constraints

The Agenda item must be presented to the Preconstruction Staff Engineer three weeks prior to the BOT meeting.

Procedures

Follow the steps below to properly process Professional Services Contracts for BOT approval.

Step	Action
1	The Project Engineer (PE) identifies the need for a professional services contract. Traffic Forecast contracts should be reviewed by the State Traffic Forecasting Engineer (currently Debi Hutchings). Modeling and other Technical Services contracts should be reviewed by the Technical Services Unit Head, currently Dan Thomas. CTP and planning contracts should be reviewed by the Eastern and Western Planning Unit Heads (currently Travis Marshall and Alena Cook, respectively).
2	The PE develops the scope of work and fee. (See <i>Contract Administration: Developing Professional Services Contracts</i>) (future link)
3	The PE prepares the Contract Item for inclusion in the BOT Agenda Item D and submits it to the TPB Staff Engineer. (See BOT Item D Sample Template) https://intranet.dot.state.nc.us/content/doh/preconstruct/tpb/manuals/
4	The TPB Staff Engineer reviews the Contract Item with the Branch Manager and then submits it to the Preconstruction Staff Engineer prior to the due date for Agenda D Items.
5	Prior to the BOT meeting, the Preconstruction Staff Engineer will send a copy of Agenda Item D to the TPB Staff Engineer. The TPB Staff Engineer will review the agenda for accuracy and forward a copy to the Branch Manager.
6	The Branch Manager (or designee) presents the Contract Item to the Finance and Programming Committee of the BOT on the Wednesday afternoon prior to BOT meeting on Thursday to answer any questions from the BOT members. At the BOT meeting on Thursday morning, the Branch Manager presents the Contract Item for BOT approval.
7	After the BOT approves the Contract Item, the TPB Staff Engineer will send an email to notify the Project Engineer that the BOT approved (or did not approve) the Contract Item.
8	The PE completes the execution of the Professional Services Contract as per the procedure for <i>Contract Administration: Developing Professional Services Contracts</i> .

Warnings and Precautions

The BOT may decide not to approve the contract, which would mean more coordination between the Board member and the Branch and a delay in the start of the contracted work.

Resources and Tools

- [Policy and Procedures for Major Professional or Specialized Services Contracts](#)
- [2007 Dates for BOT Agenda “D” Items to Preconstruction Staff Engineer](#)
- [BOT Item D Sample Template](#)

Contacts

- For suggestions to change this procedure contact: Earlene Thomas (919) 733-4705
- For questions about performing this procedure contact: Mike Bruff (919) 733-4705

Glossary

Board of Transportation (BOT)

Project Engineer (PE)

User Access

NCDOT Internal Use Only

Flowchart

